

ATTORNEY DOCKET NO. 21710-68172

USSN 09/872,687

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: OTERO *et al.*

Application No.: 09/872,687

Group Art Unit: 2161

Filed: May 31, 2001

Examiner: not yet assigned

I hereby certify that this correspondence and the documents referred to as attached therein are being deposited with the U.S. Postal Service on December 3, 2001, in an envelope as "EXPRESS MAIL POST OFFICE TO ADDRESSEE" service under 37 CFR § 1.10, Mailing Label Number EL929339735US addressed to: U.S. PATENT AND TRADEMARK OFFICE, P.O. BOX 2327, ARLINGTON, VA 22202.

Karen Spina

ATTN: Assistant Commissioner for Patents  
U.S. Patent and Trademark Office  
P.O. Box 2327  
Arlington, VA 22202

**INFORMATION DISCLOSURE STATEMENT TRANSMITTAL LETTER**

Enclosed herewith is an Information Disclosure Statement pursuant to 37 CFR. § 1.56 in connection with the above-identified application, which statement is being filed:

- ☐ Together with the present application.
- ☒ Before the first Office Action on the merits or three (3) months from the filing date of this application, whichever occurs last. [37 CFR § 1.97(b)]
- ☐ After the first Office Action on the merits, but before a Final Office Action under §1.113 or Notice of Allowance under §1.311, whichever occurs first. [37 CFR § 1.97(c)]
- ☐ After a Final Office Action under §1.113 or Notice of Allowance under §1.311, but prior to or with payment of the Issue Fee. [37 CFR § 1.97(d)]

Consistent with Applicant's obligations pursuant to 37 CFR §§1.97 and 1.98, the following requirements have been met:

- ☒ No separate requirements are needed.
- ☒ No additional fee is required.

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☐ **Fee Under 37 CFR § 1.97(c)**

The fee of \$\_\_\_\_\_ for submission of an IDS under § 1.97(c) as set forth in § 1.17(p) accompanies this statement.

☐ **Petition Under 37 CFR § 1.97(d)**

This is a petition requesting consideration of an IDS under § 1.97(d).

☐ **Fee Under 37 CFR § 1.97(d)**

The petition fee of \$130.00 set forth in § 1.17(i)(1) accompanies this petition.

☐ **Certification Under 37 CFR § 1.97(e)**

- ☐ Each item of information contained in this statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement, or
- ☐ No item of information contained in this statement was known to any individual designated in § 1.56(c) more than three months prior to the filing of this statement.

**Provision of Copies of References**

- ☒ Copies of all cited references are enclosed.
- ☐ A copies of the ABSTRACTS of the reference(s) listed on the attached Form PTO-1449 as Reference No(s) \_\_\_\_\_ is enclosed herewith and form a part hereof.
- ☐ A partial translation of Reference No(s). \_\_\_\_\_ is enclosed herewith and forms a part hereof.
- ☐ A copy of the European Search Report from a corresponding or related EPO application is enclosed herewith.
- ☐ A copy of the International Search Report from a corresponding or related PCT application is enclosed herewith.


**Identification of Prior Application(s) In Which Listed Information Was Already Cited And For Which No Copies Are Submitted Or Need Be Submitted**

- ☐ This application relies, under 35 U.S.C. § 120, on the earlier filing date of prior Application Serial No. \_\_\_\_\_, filed on \_\_\_\_\_. The following references were submitted to, and/or cited by, the Office in the prior application(s) and therefore are not required to be provided in this application:

[X] The Commissioner is hereby authorized to charge any fees associated with this communication or credit any overpayment to Deposit Account No. 50-0979. A duplicate copy of this transmittal is attached.

Respectfully submitted,

Date: December 3, 2001

  
\_\_\_\_\_  
Joseph E. Chovanes  
Registration No. 33,481

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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of: OTERO *et al.*

Application No.: 09/872,687

Group Art Unit: 2161

Filed: May 31, 2001

Examiner: not yet assigned

Title: APPARATUS, METHODS AND ARTICLES OF MANUFACTURE FOR  
CONSTRUCTING AND EXECUTING COMPUTERIZED TRANSACTION  
PROCESSES AND PROGRAMS

ATTN: Assistant Commissioner for Patents  
U.S. Patent and Trademark Office  
P.O. Box 2327  
Arlington, VA 22202

**INFORMATION DISCLOSURE STATEMENT**

This Information Disclosure Statement is submitted to the U.S. Patent and Trademark Office pursuant to Applicants' duty under 37 C.F.R. §1.56, accompanied by a Form PTO-1449 listing each reported reference. A complete copy of each listed reference is enclosed.

All of the aforesaid reported references are respectfully requested to be considered in connection with examination of this application, and to be made of record herein.

Respectfully submitted,

Joseph E. Chovanes  
Registration No. 33,481

Date: December 3, 2001

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

DEC 03 2001

ATTY. DOCKET NO.

21710-68172

SERIAL NO.

09/872,687

(use as many sheets as necessary)

APPLICANT

OTERO *et al.*

FILING DATE

05/31/2001

GROUP

2161

Sheet 1 of 1

**U.S. PATENT DOCUMENTS**

EXAMINER INITIALS	Cite No.	DOCUMENT NUMBER	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear
	A	6,134,535	Belzberg	10/17/2000	
	B	5,950,176	Keiser <i>et al.</i>	09/07/1999	
	C	5,918,218	Harris <i>et al.</i>	06/29/1999	

**FOREIGN PATENT DOCUMENTS**

Examiner Initials	Cite No.	Office	DOCUMENT NUMBER	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear	T

**OTHER PRIOR ART--NON PATENT LITERATURE DOCUMENTS**

EXAMINER INITIALS	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published	T

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